

**Department of Health & Human Services  
Administration for Children and Families**

**Program Office:** Administration on Children, Youth and Families,  
Children's Bureau

**Funding Opportunity Title:** National Resource Center for Programs Serving  
Abandoned Infants and Infants at Risk of  
Abandonment and their Families

**Announcement Type:** Initial

**Funding Opportunity Number:** HHS-2006-ACF-ACYF-CB-0121

**CFDA Number:** 93.551

**Due Date for Applications:** 07/24/2006

**Executive Summary:**

The purpose of this Cooperative Agreement is to fund a National Resource Center (NRC) to provide training and technical assistance (T/TA) that will promote the purposes of the Abandoned Infants Assistance (AIA) Act of 1988 Public Law (P.L.) 100-505, as amended. This T/TA will build the capacity of programs designed to serve abandoned infants, young children, and their families, particularly infants and children infected with Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome (HIV/AIDS), perinatally exposed to HIV/AIDS, or perinatally exposed to a dangerous drug. This NRC will be a national source of information and T/TA for programs and professionals that work with the target population defined in this funding announcement, including, but not limited to, grantees funded under the AIA Act. The NRC will address development, coordination, and quality of services; strengthening of program evaluation; information exchange; and policy development.

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**I. FUNDING OPPORTUNITY DESCRIPTION**

**Legislative Authority**

This section includes Authorizing Legislation, Purpose of the Cooperative Agreement, Definitions, Background Information and Scope of Services.

### **Authorizing Legislation**

The Abandoned Infants Assistance (AIA) Act of 1988, Public Law (P.L.) 100-505, 42 USC 670, as amended.

### **Purpose of this Cooperative Agreement**

The purpose of this Cooperative Agreement is to fund a National Resource Center (NRC) to provide training and technical assistance (T/TA) that will promote the purposes of the Abandoned Infants Assistance (AIA) Act of 1988 P.L. 100-505, as amended. This T/TA will build the capacity of programs designed to serve abandoned infants, young children, and their families, particularly infants and children infected with Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome (HIV/AIDS), perinatally exposed to HIV/AIDS, or perinatally exposed to a dangerous drug. This NRC will be a national source of information and T/TA for programs and professionals that work with the target population defined in this funding announcement, including, but not limited to, grantees funded under the AIA Act. The NRC will address development, coordination, and quality of services; strengthening of program evaluation; information exchange; and policy development.

This T/TA is intended to build the capacity of AIA grantees and others to:

1. Prevent the abandonment of infants and young children, particularly those with HIV/AIDS, perinatally exposed to HIV/AIDS, or perinatally exposed to a dangerous drug;
2. Identify and address the needs of abandoned infants and young children;
3. Assist abandoned infants and young children to reside with their natural families or in foster care, as appropriate;
4. Recruit, train, or retain foster families for abandoned infants and young children;
5. Carry out residential care programs for abandoned infants and young children who are unable to reside with their families or to be placed in foster care;

6. Carry out programs of respite care for families and foster families of infants and young children infected with HIV/AIDS, perinatally exposed to HIV/AIDS, or perinatally exposed to a dangerous drug or who have a life-threatening illness or other special medical needs;
7. Recruit and train health and social services personnel to work with families, foster care families, and residential care programs for abandoned infants and young children;
8. Prevent the abandonment of infants and young children and to care for the infants and young children, through model programs providing health, educational, and social services at a single site in a geographic area in which resides a significant number of infants and young children infected with HIV/AIDS, perinatally exposed to HIV/AIDS, or perinatally exposed to a dangerous drug; and
9. Develop permanency options for children who cannot return home.

### **Abandoned Infants Assistance Act Definitions**

**For the purpose of this program, the following definitions apply:**

*Abandoned or Abandonment:* The terms "abandoned" and "abandonment" used with respect to infants and young children mean that the infants and young children are medically cleared for discharge from acute-care hospital settings, but remain hospitalized because of a lack of appropriate out-of-hospital placement alternatives.

*Acquired Immune Deficiency Syndrome (AIDS):* The term "acquired immune deficiency syndrome" includes infection with the etiologic agent for such syndrome, any condition indicating that an individual is infected with such etiologic agent, and any condition arising from such etiologic agent.

*Dangerous Drug:* The term "dangerous drug" means a controlled substance, as defined in Section 102 of the Controlled Substances Act (21 U.S.C. 802).

*Natural Family:* The term "natural family" shall be broadly interpreted to include parents, grandparents, family members, guardians, children residing in the household, and individuals residing in the household on

a continuing basis who are in a care-giving situation with respect to infants and young children covered under the AIA Act.

## **Background Information**

The AIA Act of 1988 addresses the needs of a specific and high-risk population in need of intensive, coordinated, and in many cases long-term services. Congress passed the AIA Act to address the "boarder baby" phenomenon, wherein infants, particularly those perinatally exposed to drugs or HIV/AIDS, reside in hospitals indefinitely due to difficulties in locating appropriate living arrangements. Under this program, the Children's Bureau funds direct service projects and a national resource center to enhance the quality of legal, social, and health services delivered to children who are abandoned or at-risk of abandonment due to the presence of drugs and/or HIV/AIDS in the family.

As the following statistics and trends will illustrate, the picture has changed for this population since the program was initiated, but the need for quality, coordinated services within a supportive policy context is still clear. The Children's Bureau first commissioned a study in 1991, conducted by James Bell Associates, with a follow-up study in 1998 entitled, *National Estimates of the Number of Boarder Babies, Abandoned Infants and Discarded Infants*. A copy of this study is available through the National Clearinghouse on Child Abuse and Neglect Information at <http://nccanch.acf.hhs.gov/index.cfm>. The study evaluated the effect of the nationwide decrease in crack/cocaine use and the increased availability of services between 1991 and 1998 on the boarder baby and abandoned infant populations. The report also attempted, for the first time, to capture data about discarded infants. The Children's Bureau is currently undertaking a follow-up study on the prevalence of border babies and abandoned infants in our country. The study will be completed in 2006.

Between 1991 and 1998, the number of boarder babies rose by 38 percent nationally from 9,700 to 13,400. The concentration of the population also moved. In 1991, three cities (New York City, Chicago, and Los Angeles) accounted for 47 percent of the boarder baby population, but only 27 percent in 1998. During the same period, the number of boarder babies in the rest of the country increased by 90 percent. The racial/ethnic make-up of the boarder baby population also shifted. The percentage of boarder babies who were African-American declined from 75 percent in 1991 to 56 percent in 1998, whereas the Caucasian and Latino boarder baby populations almost doubled in 1998.

The abandoned infant population increased by 46 percent during that time and also shifted from being located in urban centers to being dispersed throughout the country. For example, in New York City, Chicago, and Los Angeles, the number of abandoned infants increased 11 percent, while the number of abandoned infants in the rest of the country increased 64 percent. The 1998 data also showed that 72 percent of abandoned infants were drug-exposed, a small decrease (6 percent) from 1991.

For boarder babies, substantial improvements were made in reducing the mean length of stay past medical discharge. The mean number of days declined from 22 in 1991 to nine in 1998. The percentage of babies who remained in the hospital longer than 21 days declined from 24 percent to 12 percent. For abandoned infants, there was no change in the length of stay. The mean length of stay was 34 days in both 1991 and 1998.

The demographics of the AIDS epidemic are changing as well. For example:

- Women represent an increasing proportion of the AIDS epidemic. HIV/AIDS is a leading cause of death among women of child-bearing age. Frequently, women with HIV/AIDS infection have great difficulty accessing health care and carry a heavy burden of caring for children and other family members who may also be HIV/AIDS-infected. They often lack social support and face other challenges that may interfere with their ability to adhere to treatment regimens;
- The percentage of women with HIV/AIDS who were exposed through heterosexual contact is increasing;
- Despite a decline in prevalence, women of color are disproportionately affected by the HIV/AIDS epidemic and represent the overwhelming proportion of new cases among women; and
- While the percentage of women with HIV/AIDS who were exposed through injection drug use is decreasing, drug use continues to have a negative effect on the lives of children and families and on the ability of the child welfare system to respond to families' needs. Women's use of substances during pregnancy affects a large number of children and families. Sharing injection equipment contaminated with HIV/AIDS is not the only risk associated with substance use. Women who smoke or snort

crack cocaine or other non-injection drugs may also be at high risk for sexual transmission of HIV/AIDS if they sell or trade sex for drugs. Also, both casual and chronic substance users are more likely to engage in high-risk behaviors, such as unprotected sex, when they are under the influence of drugs or alcohol.

One effort to address the policy issues surrounding these multi-need families lies in the Child Abuse Prevention and Treatment Act (CAPTA), 42 U.S.C. 5105, recently reauthorized under the Keeping Children and Families Safe Act of 2003, P.L. 108-36, which established new legislative responsibilities regarding prenatally exposed infants.

Under the new CAPTA requirement, States must have in place:

"(ii) policies and procedures (including appropriate referrals to child protection service systems and for other appropriate services) to address the needs of infants born and identified as being affected by illegal substance abuse or withdrawal symptoms resulting from prenatal drug exposure, including a requirement that health care providers involved in the delivery or care of such infants notify the child protective services system of the occurrence of such condition in such infants, except that such notification shall not be construed to-

(I) establish a definition under Federal law of what constitutes child abuse; or

(II) require prosecution for any illegal action;

(iii) the development of a plan of safe care for the infant born and identified as being affected by illegal substance abuse or withdrawal symptoms;"

(106(b)(2)(A)(ii)(I) and (II) and (b)(2)(A)(iii))

Although there is a considerable body of knowledge regarding the impact of illegal drug use by pregnant women on their newborn children and a growing body of research on the benefits of early identification and appropriate service provision for children prenatally exposed to illegal drugs, information about successful policies and procedures for identifying and serving this population has become available only recently. Currently, both the National Center on Substance Abuse and Child Welfare and the AIA National Resource Center are undertaking efforts to identify State policies, practices, programs, and related challenges in implementing the new CAPTA.

### **Abandoned Infants Assistance Program**

Since 1990, the Administration for Children and Families (ACF) has awarded grants under the AIA program to a variety of agencies, including State and local departments of social and health services, hospitals, universities and private, non-profit, child-serving agencies. These projects include comprehensive service demonstration programs, training projects, services resource coordination efforts, supportive service programs for family caregivers and therapeutic supportive programs for HIV/AIDS infected or affected children and adolescents. Currently, there are 20 AIA comprehensive service demonstration programs, four AIA family caregiver support service grants, and two AIA therapeutic recreation/camp programs in operation.

The AIA programs are designed to meet the immediate social service and health care needs of infants and young children and their families affected by HIV infection and drug exposure; to address issues of coordination of community services; to improve/enhance utilization of scarce resources; and to develop comprehensive service systems, which will meet the long-term needs of children and families affected by substance abuse and HIV/AIDS.

The Children's Bureau is also currently funding a group of four *Model Development or Replication to Implement the CAPTA Requirement to Identify and Serve Substance Exposed Newborns* grants to implement new requirements in CAPTA. These projects are developing or replicating and testing a model of policies and procedures that implement the new provisions of CAPTA regarding substance exposed newborns. Applicants could choose to develop new models, replicate existing models or replicate key components of existing models of policies and procedures, and test the effectiveness of the model in other settings. The projects funded under this priority area incorporate features and components that should help States and communities develop effective policies and procedures for identifying and providing services to these children and their families.

Other related programs are funded by the Health Resources and Services Administration under title IV of the Ryan White Comprehensive AIDS Resource Emergency (CARE) Act (P.L. 101-381). Many local jurisdictions nationwide are implementing programs, with or without Federal assistance, that provide services to the same target populations.

### **Abandoned Infants Assistance National Resource Center Scope of Services**

While the AIA NRC is expected to focus its T/TA activities primarily on the AIA grantees, the NRC is expected also to provide leadership in collaborating, networking, and exchanging knowledge with all related programs, stakeholders, and organizations. Related programs of particular interest include those funded under the Ryan White CARE Act and those funded under the Children's Bureau discretionary grant program. At a minimum, the AIA NRC should gather, process, and disseminate information obtained from all these sources in order to increase knowledge and to improve outcomes for this target population.

Throughout the existence of the AIA NRC, its T/TA activities have addressed the important, integral aspects of providing needed services for the target population. The NRC has also expanded its activities to other important program areas that address the permanence of children and stability and healthy functioning of families.

AIA NRC T/TA topical areas and responsibilities include, but are not limited to, the following:

- Identifying the problems and issues involved in planning and providing services for infants and young children who are drug- and/or HIV-exposed and are at risk of abandonment and their families;
- Addressing permanency planning issues for these children, such as standby guardianship laws and procedures, supportive services for family caregivers, and therapeutic services, particularly recreation and/or camping programs, for children and adolescents;
- Identifying the T/TA needs of programs that serve women and families affected by substance-abuse and/or HIV/AIDS;
- Improving services to ensure permanency for the target population and providing T/TA regarding standby guardianships and testamentary planning;
- Continually identifying emerging issues from related fields and assisting the field in adapting such resources to meet specific needs of the target population;
- Developing or participating in the development of a plan to meet those needs;



- Designing, developing, and delivering T/TA and consultation primarily to projects funded under the AIA program and secondarily to related projects;
- Recruiting, assigning, and deploying staff with appropriate experience providing T/TA;
- Providing T/TA and consultation to service providers working with economically, racially, and culturally diverse populations;
- Developing evaluation strategies and providing T/TA on evaluation methodologies;
- Designing, developing, delivering, and evaluating T/TA materials;
- Working with public and private child welfare and social service organizations on issues;
- Conducting one national training conference and one national expert group meeting each year of the grant;
- Conducting and supporting, in conjunction with the Children's Bureau, one national grantees' conference per year for relevant service providers; and
- Developing and instituting a policy academy(ies).

The current AIA NRC, funded from September 1991 through September 2006, is operated under a cooperative agreement with the University of California, Berkeley Family Welfare Research Group. Their web site can be viewed at <http://aia.berkeley.edu/index.html>.

The AIA NRC will provide State and local, private, non-profit agencies and organizations with access to information, methods, techniques, and strategies for establishing an effective, coordinated range of comprehensive social and health care services to infants and young children affected by substance abuse and/or HIV/AIDS and their families. The NRC will also assist agencies and organizations with critical issues in case management, including safety, well-being, and permanency planning issues to improve the outcomes of children and families affected by substance abuse and HIV/AIDS.

Applicants must describe clearly how they plan to assist these organizations. This plan should include a systematic process for

making the work of the AIA grantees and the lessons they are learning readily available to the field.

### **T/TA Network, CFSRs and PIPs**

The Children's Bureau T/TA network, which includes its NRCs and Clearinghouses, responds to State's T/TA needs, especially those related to the Child and Family Service Reviews (CFSRs) and Program Improvement Plans (PIPs). The NRC for AIA is expected to collaborate with and inform the relevant activities of the T/TA network and to address CFSRs and PIPs in their T/TA as appropriate. More information on the Children's Bureau T/TA network can be found at <http://www.acf.hhs.gov/programs/cb/tta/index.htm#national>. More information on the CFSRs and PIPs can be found at <http://www.acf.hhs.gov/programs/cb/cwmonitoring/index.htm>.

### **Cross-Site Evaluation**

The AIA NRC is responsible for collecting summary evaluation data from the AIA comprehensive services demonstration programs, the AIA family support service programs, and the AIA therapeutic recreation programs and submitting an annual cross-site evaluation report to the Children's Bureau.

The summary data collected includes descriptive data on the number and characteristics of clients served, the services provided, and measures of client outcomes. The proposed cross-site evaluation plan must include a process for identifying those particular outcome indicators across program sites that evaluate the successes and achievements of the AIA service demonstration program as a whole. For example, the summary data includes, but is not be limited to, the following:

- Demographic characteristics, processes and outcomes;
- Substance abuse treatment and recovery of the mother;
- Target infant/child characteristics, including gestational age, birth weight;
- Target infant/child placement status: at program intake, at 12 months after enrollment if the information is available, and at termination if available;
- Client termination: child placement status at 12 months after leaving the program if this information is available; and
- Family stability/permanency status of the child (e.g., is the child hospitalized; home with biological parent; in a pre-adoptive or adoptive home; home with relatives; in formal kinship care; foster care; or foster home care ) at intake, every six months

after enrolled, at termination, and at six months post-termination.

The successful applicant will build on the cross-site evaluation work that has already been done. The current AIA NRC is sub-contracting with University of Missouri-Kansas City, Institute for Human Development to conduct the cross-site evaluation. Information on this cross-site evaluation is available at [http://aia.berkeley.edu/direct\\_service\\_programs/UMKC.html](http://aia.berkeley.edu/direct_service_programs/UMKC.html).

The applicant is encouraged to suggest and provide the rationale regarding any additional cross-site evaluation strategies they believe would be beneficial and/or data they believe should be collected.

The proposed work plan should include a timeframe for collecting the cross-site data and preparing the cross-site evaluation report. Possible delays in obtaining data from the projects should be addressed and factored into the timeframe.

In addition to being responsible for the cross-site evaluation, the NRC is also to provide evaluation T/TA to the AIA-funded projects, to help them participate successfully in the cross-site evaluation, conduct their own individual program evaluations, and to integrate these two evaluations as much as possible.

### **Meetings and Conferences**

Under this cooperative agreement, the AIA NRC will conduct one national training conference and one national expert group meeting each year of the grant. The NRC will also conduct and support, in conjunction with the Children's Bureau, one national grantees' conference per year for relevant service providers.

### **Policy Academy**

The AIA NRC will develop and institute a policy academy(ies). This academy will assist the State(s) in developing policies, procedures, and legislation that will improve ready access to substance abuse treatment and develop a coordinated treatment program with interconnected services based on the specific needs of women and children who are affected by substance-abuse. It is expected that these policies and procedures will be designed in such a way as to deliver the needed services without causing the parent(s) of affected children to fear judicial or punitive consequences.

### **Advisory Board**

The NRC will establish an advisory board that will provide overall program direction and guidance to the activities of the NRC. The board will be interdisciplinary and include consumer representation. Two advisory board meetings per year will be held in Washington, D.C. One meeting will be held in conjunction with the annual AIA grantees' meeting, which is usually convened in the spring. The second meeting will be held approximately six to eight months later. The second meeting could be a teleconference or could be held in conjunction with another national meeting or conference conducted by the Children's Bureau.

### **Assurances**

The acceptance of funds for projects responsive to this announcement will signify the applicant's assurance that it will comply with the following requirements:

1. Have the project fully functioning within 90 days following the notification of the grant award;
2. Submit all performance indicator data, program and financial reports in a timely manner, in recommended format (to be provided), and submit the final report on disk or electronically using a standard word-processing program;
3. Submit a copy of the final report, the evaluation report, and any program products to the National Clearinghouse on Child Abuse and Neglect Information within 90 days of project end date. This is in addition to the standard requirement that the final program and evaluation report must also be submitted to the ACF Grants Management Specialist and the Federal Project Officer; and
4. Allocate sufficient funds in the budget to provide for the project director, the evaluator, and other key partners to attend an early kickoff meeting for grantees funded under this priority area to be held within the first three months of the project (**first year only**) in Washington, D.C.

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## **II. AWARD INFORMATION**

**Funding Instrument Type:** Cooperative Agreement

### **Substantial Involvement with Cooperative Agreement:**

A cooperative agreement is a specific method of awarding Federal assistance in which substantial Federal involvement is anticipated

between the awarding office and the recipient during performance of the funded activity. A cooperative agreement clearly defines the respective responsibilities of the Children's Bureau and the grantee prior to the award. The Children's Bureau anticipates that agency involvement will produce programmatic benefits to the recipient otherwise unavailable to them for carrying out the project. The involvement and collaboration includes:

- Children's Bureau review and approval of planning stages of the activities before implementation phases may begin;
- Children's Bureau involvement in the establishment of policies and procedures that maximize open competition, and rigorous and impartial development, review and funding of grant or sub-grant activities, if applicable;
- Children's Bureau and recipient joint collaboration in the performance of key programmatic activities (i.e., strategic planning, implementation, information technology enhancements, T/TA, publications or products, and evaluation);
- Close monitoring by the Children's Bureau of the requirements stated in this announcement that limit the grantee's discretion with respect to scope of services offered, organizational structure and management processes; and
- Close Children's Bureau monitoring during performance, that may, in order to ensure compliance with the intent of this funding, exceed those Federal stewardship responsibilities customary for grant activities.

Under the terms of this cooperative agreement, the grantee will submit to the Children's Bureau for review and approval, NRC products and materials including, but not limited to the following: work plans; lists of topics to be covered in the T/TA resources; literature reviews; newsletters; topics and locations of conferences; draft reports, conference agendas and other materials prior to their finalization and dissemination by the grantee.

**Anticipated Total Priority Area Funding:** \$900,000

**Anticipated Number of Awards:** 0 to 1

**Ceiling on Amount of Individual Awards:** \$900,000 per budget period

**Floor on Amount of Individual Awards:** None

**Average Projected Award Amount:** \$900,000 per budget period

**Length of Project Periods:** 48-month project with four 12-month budget periods  
Other

**Explanation of Other:**

In the first budget period, the maximum Federal share of the project is not to exceed \$900,000. The project awarded will be for a project period of 48 months. The initial grant award will be for a 12-month budget period. The award of continuation beyond each 12-month budget period will be subject to the availability of funds, satisfactory progress on the part of the grantee, and a determination that continued funding would be in the best interest of the Federal Government.

**Awards under this announcement are subject to the availability of funds.**

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### **III. ELIGIBILITY INFORMATION**

#### **1. Eligible Applicants:**

- State governments
- Public and State-controlled institutions of higher education
- Non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education
- Non-profits that do not have a 501(c)(3) status with the IRS, other than institutions of higher education
- Private institutions of higher education

Faith-based and community organizations that meet the statutory eligibility requirements are eligible to apply under this announcement.

Collaborative efforts and interdisciplinary approaches are acceptable. Applications from collaborations must identify a primary applicant responsible for administering the cooperative agreement.

## **2. Cost Sharing or Matching: Yes**

Grantees are required to meet a non-Federal share of the project costs, in accordance with . Grantees must provide at least 10 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. For example, in order to meet the match requirements, a project with a total approved project cost of \$1,000,000, requesting \$900,000 in ACF funds, must provide a non-Federal share of at least \$100,000 (10 percent of total approved project cost of \$1,000,000.) Grantees will be held accountable for commitments of non-Federal resources even if they exceed the amount of the required match. Failure to provide the required amount will result in the disallowance of Federal funds. A lack of supporting documentation at the time of application will not exclude the application from competitive review.

## **3. Other:**

Applicants from organizations not listed as eligible applicants in *Section III.1* will not be considered for funding under this announcement.

## **D-U-N-S Requirement**

All applicants must have a D&B Data Universal Numbering System (D-U-N-S) number. On June 27, 2003, the Office of Management and Budget (OMB) published in the *Federal Register* a new Federal policy applicable to all Federal grant applicants. The policy requires Federal grant applicants to provide a D-U-N-S number when applying for Federal grants or cooperative agreements on or after October 1, 2003. The D-U-N-S number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal, [Grants.gov](http://Grants.gov). A D-U-N-S number will be required for every application for a new award or renewal/continuation of an award, including applications or plans under formula, entitlement, and block grant programs, submitted on or after October 1, 2003.

Please ensure that your organization has a D-U-N-S number. You may acquire a D-U-N-S number at no cost by calling the dedicated toll-free

D-U-N-S number request line at 1-866-705-5711 or you may request a number on-line at <http://www.dnb.com>.

### **Proof of Non-Profit Status**

Non-profit organizations applying for funding are required to submit proof of their non-profit status.

Proof of non-profit status is any one of the following:

- A reference to the applicant organization's listing in the IRS's most recent list of tax-exempt organizations described in the IRS Code.
- A copy of a currently valid IRS tax-exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.
- Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.

When applying electronically, we strongly suggest that you attach your proof of non-profit status with your electronic application.

Private, non-profit organizations are encouraged to submit with their applications the survey located under *Grant Related Documents and Forms: Survey for Private, Non-Profit Grant Applicants, titled, Survey on Ensuring Equal Opportunity for Applicants*, at:  
<http://www.acf.hhs.gov/programs/ofs/forms.htm>.

### **Disqualification Factors**

Applications that exceed the ceiling amount will be deemed non-responsive and will not be considered for funding under this announcement.

Any application that fails to satisfy the deadline requirements referenced in *Section IV.3* will be deemed non-responsive and will not be considered for funding under this announcement.



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## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **1. Address to Request Application Package:**

ACYF Operations Center  
c/o The Dixon Group, Inc.  
ATTN: Children's Bureau  
118 Q St., NE  
Washington, DC 20002-2132  
Phone: 866-796-1591

### **2. Content and Form of Application Submission:**

Each application must contain the following items in the order listed:

#### **Application for Federal Assistance** (Standard Form (SF) 424).

Follow the instructions below and those that accompany the form.

- In Item 5 of SF-424, put D-U-N-S number in "Organizational D-U-N-S:" box.
- In Item 5 of SF-424, include name, phone number, and, if available, email and fax numbers of the contact person.
- In Item 8 of SF-424, check "New."
- In Item 10 of SF-424, clearly identify the *Catalog of Federal Domestic Assistance* program title and number for the program for which funds are being requested as stated in this funding opportunity announcement.
- In Item 11 of SF-424, identify the single funding opportunity the application addresses.
- In Item 12 of SF-424, identify the specific geographic area to be served.
- In Item 14 of SF-424, identify Congressional districts of both the applicant and project.

#### **Budget Information, Non-Construction Programs (SF-424A) and Budget Justification.**

Follow the instructions provided here and those in *Section V* Application Review Information. Note that Federal funds provided to States and services or other resources purchased with Federal funds may not be used to match project grants.

**Certifications/Assurances.** Applicants requesting financial assistance for non-construction projects must file the SF-424B, 'Assurances: Non-Construction Programs.' Applicants must sign and return the SF-424B with their applications. Applicants must provide a certification regarding lobbying when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications.

**Lobbying Activities.** Applicants must disclose lobbying activities on the SF-LLL when applying for an award in excess of \$100,000. Applicants who have used non-Federal funds for lobbying activities in connection with receiving assistance under this announcement shall complete a disclosure form to report lobbying. Applicants must sign and return the disclosure form, if applicable, with their applications.

Applicants must make the appropriate certification regarding environmental tobacco smoke. By signing and submitting the application, the applicant is providing the certification and **need not** mail back the certification with the applications.

**SPOC Certification.** If applicable, applicants must include a completed Single Point of Contact (SPOC) certification with the date of the SPOC contact entered in line 16, page 1 of SF-424.

**Project Abstract/Summary.** (one page maximum, double spaced). Clearly mark this page with the applicant name as shown on item 5 of SF-424, identify the competitive grant funding opportunity and the title of the proposed project as shown in item 11 and the service area as shown in item 12 of SF-424. The summary description should not exceed 300 words.

Care should be taken to produce an abstract/summary that accurately and concisely reflects the proposed project. It should describe the objectives of the project, the approach to be used and the results or benefits expected.

**Project Description for Evaluation.** Applicants should organize their project description in this sequence: 1) Objectives and Need for Assistance; 2) Approach; 3) Organizational Profiles; and 4) Budget and Budget Justification.

**Match.** Provide a letter of commitment verifying the actual amount of the non-Federal share of project costs (see *Section III.2*).

**Proof of Non-Profit Status.** (if applicable) See *Section III.3*.

**Indirect Cost Rate Agreement.** If claiming indirect costs, provide documentation that applicant currently has an indirect cost rate approved by the U. S. Department of Health and Human Services (HHS) or another cognizant Federal agency.

**Letters of Agreement and Memoranda of Understanding.** If applicable, include a Letter of Agreement or Memorandum of Understanding from each partner and/or sub-contractor describing their role, detailing specific tasks to be performed, and expressing commitment to participate if the proposed project is funded.

**Page Limit.** The application limit is 85 pages total including all forms and attachments. Pages over this page limit will be removed from the application and will not be reviewed.

### **General Content and Form Information**

To be considered for funding, each application must be submitted with the Standard Federal Forms (provided at the end of this announcement or through the electronic links provided) and following the guidance provided. The application must be signed by an individual authorized to act for the applicant agency and to assume responsibility for the obligations imposed by the terms and conditions of the grant award.

To be considered for funding, each applicant must submit the signed original and two additional copies of the application, including all forms and attachments, to the Application Receipt Point. The original copy of the application must have original signatures.

The application must be typed, double spaced, printed on only one side, with at least 1/2 inch margins on each side and 1 inch at the top and bottom, using standard 12-Point fonts (such as Times New Roman or Courier). All pages must be numbered. Pages will be removed and not reviewed if spacing, margins and font instructions are not followed.

All copies of an application must be submitted in a single package, and a separate package must be submitted for each funding opportunity. The package must be clearly labeled for the specific funding opportunity it is addressing.

Because each application will be duplicated, do not use or include separate covers, binders, clips, tabs, plastic inserts, maps, brochures, or any other items that cannot be processed easily on a photocopy machine with an automatic feed. Do not bind, clip, staple, or fasten in any way separate subsections of the application, including supporting documentation. Use a clip (not a staple) to securely bind the

application together. Applicants are advised that the copies of the application submitted, not the original, will be reproduced by the Federal Government for review.

**Tips for Preparing a Competitive Application.** It is essential that the applicant reads the entire announcement package carefully before preparing an application and include all of the required application forms and attachments. The applicant must reflect a thorough understanding of the purpose and objectives of the applicable legislation. Reviewers expect applicants to understand the goals of the legislation and the Children's Bureau's interest in each topic. A "responsive application" is one that addresses all of the evaluation criteria in ways that demonstrate this understanding. Applications that are considered to be "unresponsive" generally receive very low scores and are rarely funded.

The Children's Bureau's web site (<http://www.acf.dhhs.gov/programs/cb>) provides a wide range of information and links to other relevant web sites. Before you begin preparing an application, we suggest that you learn more about the mission and programs of the Children's Bureau by exploring the website.

**Organizing Your Application.** The specific evaluation criteria in *Section V* of this funding announcement will be used to review and evaluate each application. The applicant should address each of these specific evaluation criteria in the project description. Applicants should organize their project description in this sequence: 1) Objectives and Need for Assistance; 2) Approach; 3) Organizational Profiles; and 4) Budget and Budget Justification. The applicant should use the same headings as these criteria, so that reviewers can readily find information that directly addresses each of the specific review criteria.

**Logic Model.** A logic model is a tool that presents the conceptual framework for a proposed project and explains the linkages among program elements. While there are many versions of the logic model, they generally summarize the logical connections among the needs that are the focus of the project, project goals and objectives, the target population, project inputs (resources), the proposed activities/processes/outputs directed toward the target population, the expected short- and long-term outcomes the initiative is designed to achieve, and the evaluation plan for measuring the extent to which proposed processes and outcomes actually occur. Information on the development of logic models is available on the Internet at

<http://www.uwex.edu/ces/pdande/> or

[http://www.extension.iastate.edu/cyfar/capbuilding/outcome/outcome\\_logicmdir.html](http://www.extension.iastate.edu/cyfar/capbuilding/outcome/outcome_logicmdir.html).

**Project Evaluation Plan.** Project evaluations are very important. If you do not have the in-house capacity to conduct an objective, comprehensive evaluation of the project, then the Children's Bureau advises that you propose contracting with a third-party evaluator specializing in social science or evaluation, or a university or college to conduct the evaluation. A skilled evaluator can help you develop a logic model and assist you in designing an evaluation strategy that is rigorous and appropriate given the goals and objectives of your proposed project. Additional assistance may be found in a document titled "Program Manager's Guide to Evaluation." A copy of this document can be accessed at

[http://www.acf.hhs.gov/programs/opre/other\\_resrch/pm\\_guide\\_eval/reports/pmguide/pmguide\\_toc.html](http://www.acf.hhs.gov/programs/opre/other_resrch/pm_guide_eval/reports/pmguide/pmguide_toc.html).

**Use of Human Subjects.** Evaluation plans that include obtaining identifiable private information about clients may involve non-exempt human subjects research and require compliance with the Department of Health and Human Services Protection of Human Subjects (HHS) regulations (45 CFR Part 46). Applicants proposing such research are asked to describe: (a) the procedures for protecting the privacy of clients and insuring the confidentiality of data collected about clients; and (b) the process for obtaining Institutional Review Board (IRB) review of the proposed evaluation plans. While IRB approval is not required at the time of award, applicants proposing non-exempt human subjects research will be required, as a condition of award, to hold a Federalwide Assurance (FWA) approved by the Office for Human Research Protections (OHRP) and to provide certification to ACF that an IRB designated under the FWA has reviewed and approved the research prior to enrolling any subjects in the proposed evaluation. Certifications of IRB approval may be submitted to ACF using the form at <http://www.hhs.gov/ohrp/humansubjects/assurance/OF310.rtf>.

General information about the HHS Protection of Human Subjects regulations can be obtained on the web at <http://www.hhs.gov/ohrp>. You may also contact OHRP by e-mail ([ohrp@csophs.dhhs.gov](mailto:ohrp@csophs.dhhs.gov)) or by phone (240-453-6900).

## **Forms and Certifications**

The project description should include all the information requirements described in the specific evaluation criteria outlined in this program announcement under *Section V. Application Review Information*. In

addition to the project description, the applicant needs to complete all of the Standard Forms required as part of the application process for awards under this announcement.

Applicants seeking financial assistance under this announcement must file the appropriate Standard Forms as described in this section. All applicants must submit SF-424, Application for Federal Assistance. For non-construction programs, applicants must also submit SF-424A, Budget Information and SF-424B, Assurances. For construction programs, applicants must also submit SF-424C, Budget Information and SF-424D, Assurances. The forms may be reproduced for use in submitting applications. Applicants must sign and return the standard forms with their application.

Applicants must furnish prior to award an executed copy of the SF-LLL, Certification Regarding Lobbying, when applying for an award in excess of \$100,000. Applicants who have used non-Federal funds for lobbying activities in connection with receiving assistance under this announcement shall complete a disclosure form, if applicable, with their application. Applicants must sign and return the certification with their application.

Applicants must also understand that they will be held accountable for the smoking prohibition included within Public Law (P.L.) 103-227, Title XII Environmental Tobacco Smoke (also known as the PRO-KIDS Act of 1994). A copy of the *Federal Register* notice that implements the smoking prohibition is included with this form. By signing and submitting the application, applicants are providing the necessary certification and are not required to return it.

Applicants must make the appropriate certification of their compliance with all Federal statutes relating to nondiscrimination. By signing and submitting the application, applicants are providing the necessary certification and are not required to return it. Complete the standard forms and the associated certifications and assurances based on the instructions on the forms. The forms and certifications may be found at: <http://www.acf.hhs.gov/programs/ofs/forms.htm>.

Private, non-profit organizations are encouraged to submit with their applications the survey located under *Grant Related Documents and Forms: Survey for Private, Non-Profit Grant Applicants, titled, Survey on Ensuring Equal Opportunity for Applicants*, at: <http://www.acf.hhs.gov/programs/ofs/forms.htm>.

Those organizations required to provide proof of non-profit status, please refer to *Section III.3*.

Please see *Section V.1* for instructions on preparing the full project description.

Please reference *Section IV.3* for details about acknowledgement of received applications.

### **Electronic Submission**

You may submit your application to us in either electronic or paper format. To submit an application electronically, please use the <http://www.Grants.gov> site.

If you use Grants.gov, you will be able to download a copy of the application package, complete it off-line, and then upload and submit the application via the Grants.gov site. ACF will not accept grant applications via facsimile or email.

**IMPORTANT NOTE:** Before you submit an electronic application, you must complete the organization registration process as well as obtain and register "electronic signature credentials" for the Authorized Organization Representative (AOR). Since this process may take more than five business days, it is important to start this process early, well in advance of the application deadline. **Be sure to complete all Grants.gov registration processes listed on the Organization Registration Checklist, which can be found at [http://www.acf.hhs.gov/grants/registration\\_checklist.html](http://www.acf.hhs.gov/grants/registration_checklist.html).**

Please note the following if you plan to submit your application electronically via Grants.gov:

- Electronic submission is voluntary, but strongly encouraged.
- You may access the electronic application for this program at <http://www.Grants.gov>. There you can search for the downloadable application package by utilizing the Grants.gov FIND function.
- **We strongly recommend that you do not wait until the application deadline date to begin the application process through Grants.gov.** We encourage applicants that submit electronically to submit well before the closing date and time so that if difficulties are encountered an applicant can still submit a hard copy via express mail.
- To use Grants.gov, you, as the applicant, must have a D-U-N-S number and register in the Central Contractor Registry (CCR). You should allow a minimum of five days to complete the

CCR registration. **REMINDER: CCR registration expires each year and thus must be updated annually. You cannot upload an application to Grants.gov without having a current CCR registration AND electronic signature credentials for the AOR.**

- The electronic application is submitted by the AOR. To submit electronically, the AOR must obtain and register electronic signature credentials approved by the organization's E-Business Point of Contact who maintains the organization's CCR registration.
- You may submit all documents electronically, including all information typically included on the SF-424 and all necessary assurances and certifications.
- Your application must comply with any page limitation requirements described in this program announcement.
- After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. ACF will retrieve your application from Grants.gov.
- ACF may request that you provide original signatures on forms at a later date.
- You will not receive additional point value because you submit a grant application in electronic format, nor will we penalize you if you submit an application in hard copy.
- If you encounter difficulties in using Grants.gov, please contact the Grants.gov Help Desk at: 1-800-518-4726, or by email at [support@grants.gov](mailto:support@grants.gov) to report the problem and obtain assistance.
- Checklists and registration brochures are maintained at <http://www.grants.gov/GetStarted> to assist you in the registration process.
- When submitting electronically via Grants.gov, applicants must comply with all due dates **AND** times referenced in *Section IV.3*.

## **Hard Copy Submission**



Applicants that are submitting their application in paper format should submit one original and two copies of the complete application. The original and each of the two copies must include all required forms, certifications, assurances, and appendices, be signed by an authorized representative, have original signatures, and be unbound.

### **Non-Federal Reviewers**

Since ACF will be using non-Federal reviewers in the review process, applicants have the option of omitting from the application copies (not the original) specific salary rates or amounts for individuals specified in the application budget as well as Social Security Numbers, if otherwise required for individuals. The copies may include summary salary information.

If applicants are submitting their application electronically, ACF will omit the same specific salary rate information from copies made for use during the review and selection process.

### **3. Submission Dates and Times:**

**Due Date for Applications:** 07/24/2006

#### **Explanation of Due Dates**

The due date for receipt of applications is referenced above. Applications received after 4:30 p.m., eastern time, on the due date will be classified as late and will not be considered in the current competition.

Applicants are responsible for ensuring that applications are mailed or hand-delivered or submitted electronically well in advance of the application due date and time.

#### **Mail**

Applications that are submitted by mail must be received no later than 4:30 p.m., eastern time, on the due date referenced above at the address listed in *Section IV.6*.

#### **Hand Delivery**

Applications hand carried by applicants, applicant couriers, other representatives of the applicant, or by overnight/express mail couriers must be received on or before the due date referenced above, between the hours of 8:00 a.m. and 4:30 p.m., eastern time, at the address referenced in *Section IV.6*, between Monday and Friday (excluding Federal holidays).

## Electronic Submission

Applications submitted electronically via Grants.gov must be submitted no later than 4:30 p.m., eastern time, on the due date referenced above.

ACF cannot accommodate transmission of applications by facsimile or email.

## Late Applications

Applications that do not meet the requirements above are considered late applications. ACF shall notify each late applicant that its application will not be considered in the current competition.

**ANY APPLICATION RECEIVED AFTER 4:30 P.M., EASTERN TIME, ON THE DUE DATE WILL NOT BE CONSIDERED FOR COMPETITION.**

## Extension of Deadlines

ACF may extend application deadlines when circumstances such as acts of God (floods, hurricanes, etc.) occur; when there are widespread disruptions of mail service; or in other rare cases. A determination to extend or waive deadline requirements rests with the Chief Grants Management Officer.

Receipt acknowledgement for application packages will not be provided to applicants who submit their package via mail, courier services, or by hand delivery. Applicants will receive an electronic acknowledgement for applications that are submitted via <http://www.Grants.gov>.

## Checklist

You may use the checklist below as a guide when preparing your application package.

What to Submit	Required Content	Required Form or Format	When to Submit
SF-424	See Section IV.2	See <a href="http://www.acf.hhs.gov/programs/ofs/forms.htm">http://www.acf.hhs.gov/programs/ofs/forms.htm</a>	By application due date.
SF-424A	See Section IV.2	See <a href="http://www.acf.hhs.gov/programs/ofs/forms.htm">http://www.acf.hhs.gov/programs/ofs/forms.htm</a>	By application due date.
SF-424B	See Section	See <a href="http://www.acf.hhs.gov/programs/ofs/forms.htm">http://www.acf.hhs.gov/programs/ofs/forms.htm</a>	By application

	IV.2	<a href="#">ms.htm</a>	due date.
SF-LLL Certification Regarding Lobbying	See Section IV.2	See <a href="http://www.acf.hhs.gov/programs/ofs/for ms.htm">http://www.acf.hhs.gov/programs/ofs/for ms.htm</a>	By date of award.
SPOC Certification (if applicable)	See Section IV	Found in Section IV	With application.
Project Abstract	See Sections IV.2 and V	Found in Sections IV.2 and V	By application due date.
Project Description	See Sections IV.2 and V	Found in Sections IV.2 and V	By application due date.
Budget Narrative/Justification	See Sections IV.2 and V	Found in Sections IV.2 and V	By application due date.
Non-Federal Commitment Letter	See Section IV	Found in Section IV	With application.
Proof of Non-Profit Status (if applicable)	See Section III.3	Found in Section III.3	With application.
Indirect Cost Rate Agreement (if applicable)	See Section IV	Found in Section IV	With application.
Letters of commitment from partners (if applicable)	See Section IV	Found in Section IV	With application.

### Additional Forms

Private, non-profit organizations are encouraged to submit with their applications the survey located under *Grant Related Documents and Forms: Survey for Private, Non-Profit Grant Applicants, titled, Survey on Ensuring Equal Opportunity for Applicants*, at:

<http://www.acf.hhs.gov/programs/ofs/forms.htm>.

What to Submit	Required Content	Required Form or Format	When to Submit
Survey for Private, Non-Profit	See form.	See <a href="http://www.acf.hhs.gov/programs/ofs/forms">http://www.acf.hhs.gov/programs/ofs/forms</a> .	By application

Grant Applicants		<a href="#">htm</a>	due date.
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#### **4. Intergovernmental Review:**

##### **State Single Point of Contact (SPOC)**

This program is covered under Executive Order (EO) 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities." Under the Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

As of August 1, 2005, the following jurisdictions have elected to participate in the EO process: Arkansas, California, Delaware, District of Columbia, Florida, Georgia, Illinois, Iowa, Kentucky, Maine, Maryland, Michigan, Mississippi, Missouri, Nevada, New Hampshire, New York, North Dakota, Rhode Island, South Carolina, Texas, Utah, West Virginia, Wisconsin, American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and U.S. Virgin Islands. As these jurisdictions have elected to participate in the Executive Order process, they have established SPOCs. Applicants from participating jurisdictions should contact their SPOC, as soon as possible, to alert them of prospective applications and receive instructions. Applicants must submit all required materials, if any, to the SPOC and indicate the date of this submittal (or the date of contact if no submittal is required) on the Standard Form 424, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application deadline to comment on proposed new or competing continuation awards. SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations. Additionally, SPOCs are requested to clearly differentiate between mere advisory comments and those official State process recommendations, which may trigger the "accommodate or explain" rule.

When comments are submitted directly to ACF, they should be addressed to the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade SW., 4th floor, Washington, DC 20447.

Although the remaining jurisdictions have chosen not to participate in the process, entities that meet the eligibility requirements of the

program are still eligible to apply for a grant even if a State, Territory, Commonwealth, etc. does not have a SPOC. Therefore, applicants from these jurisdictions, or for projects administered by Federally recognized Indian Tribes, need take no action in regard to EO 12372.

The official list, including addresses, of the jurisdictions that have elected to participate in EO 12372 can be found on the following URL: <http://www.whitehouse.gov/omb/grants/spoc.html>.

## **5. Funding Restrictions:**

Grant awards will not allow reimbursement of pre-award costs.

Construction and purchase of real property are not allowable activities or expenditures under this grant award.

## **6. Other Submission Requirements:**

Please see *Sections IV.2* and *IV.3* for deadline information and other application requirements.

Submit applications to one of the following addresses:

### **Submission by Mail**

ACYF Operations Center  
c/o The Dixon Group, Inc.  
ATTN: Children's Bureau  
118 Q St., NE  
Washington, DC 20002-2132

### **Hand Delivery**

ACYF Operations Center  
c/o The Dixon Group, Inc.  
ATTN: Children's Bureau  
118 Q St., NE  
Washington, DC 20002-2132

### **Electronic Submission**

Please see *Section IV.2* for guidelines and requirements when submitting applications electronically via <http://www.Grants.gov>.

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## **V. APPLICATION REVIEW INFORMATION**

## **The Paperwork Reduction Act of 1995 (P.L. 104-13)**

Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.

The project description is approved under OMB control number 0970-0139, which expires 4/30/2007.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

### **1. Criteria:**

#### **Part I THE PROJECT DESCRIPTION OVERVIEW**

##### **PURPOSE**

The project description provides the majority of information by which an application is evaluated and ranked in competition with other applications for available assistance. The project description should be concise and complete. It should address the activity for which Federal funds are being requested. Supporting documents should be included where they can present information clearly and succinctly. In preparing the project description, information that is responsive to each of the requested evaluation criteria must be provided. Awarding offices use this and other information in making their funding recommendations. It is important, therefore, that this information be included in the application in a manner that is clear and complete.

##### **GENERAL EXPECTATIONS AND INSTRUCTIONS**

ACF is particularly interested in specific project descriptions that focus on outcomes and convey strategies for achieving intended performance. Project descriptions are evaluated on the basis of substance and measurable outcomes, not length. Extensive exhibits are not required. Cross-referencing should be used rather than repetition. Supporting information concerning activities that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant-funded activity should be placed in an appendix.

Pages should be numbered and a table of contents should be included for easy reference.

## Part II GENERAL INSTRUCTIONS FOR PREPARING A FULL PROJECT DESCRIPTION

### INTRODUCTION

Applicants that are required to submit a full project description shall prepare the project description statement in accordance with the following instructions while being aware of the specified evaluation criteria. The text options give a broad overview of what the project description should include while the evaluation criteria identify the measures that will be used to evaluate applications.

### PROJECT SUMMARY/ABSTRACT

Provide a summary of the project description (one page or less) with reference to the funding request.

### OBJECTIVES AND NEED FOR ASSISTANCE

Clearly identify the physical, economic, social, financial, institutional, and/or other problem(s) requiring a solution. The need for assistance must be demonstrated and the principal and subordinate objectives of the project must be clearly stated; supporting documentation, such as letters of support and testimonials from concerned interests other than the applicant, may be included. Any relevant data based on planning studies should be included or referred to in the endnotes/footnotes. Incorporate demographic data and participant/beneficiary information, as needed. In developing the project description, the applicant may volunteer or be requested to provide information on the total range of projects currently being conducted and supported (or to be initiated), some of which may be outside the scope of the program announcement.

### APPROACH

Outline a plan of action that describes the scope and detail of how the proposed work will be accomplished. Account for all functions or activities identified in the application. Cite factors that might accelerate or decelerate the work and state your reason for taking the proposed approach rather than others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function or activity in such terms as the number of people to be served and the number of activities accomplished.

When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

If any data is to be collected, maintained, and/or disseminated, clearance may be required from the OMB. This clearance pertains to any "collection of information that is conducted or sponsored by ACF."

Provide a list of organizations, cooperating entities, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

#### ADDITIONAL INFORMATION

The following are requests for additional information that must be included in the application:

##### ORGANIZATIONAL PROFILES

Provide information on the applicant organization(s) and cooperating partners, such as: organizational charts; financial statements; audit reports or statements from Certified Public Accountants/Licensed Public Accountants; Employer Identification Number(s); contact persons and telephone numbers; names of bond carriers; child care licenses and other documentation of professional accreditation; information on compliance with Federal/State/local government standards; documentation of experience in the program area; and, other pertinent information.

If the applicant is a non-profit organization, it should submit proof of its non-profit status in its application. The non-profit agency can accomplish this by providing any one of the following: a) a reference to the applicant organization's listing in the IRS's most recent list of tax-exempt organizations described in the IRS Code; b) a copy of a currently valid IRS tax exemption certificate; c) a statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrues to any private shareholders or individuals; d) a certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status; or e) any of the items immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.



## BUDGET AND BUDGET JUSTIFICATION

Provide a budget with line-item detail and detailed calculations for each budget object class identified on the Budget Information Form (SF-424A or SF-424C). Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. If matching is a requirement, include a breakout by the funding sources identified in Block 15 of the SF-424.

Provide a narrative budget justification that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

### GENERAL

Use the following guidelines for preparing the budget and budget justification. Both Federal and non-Federal resources (when required) shall be detailed and justified in the budget and budget narrative justification. "Federal resources" refers only to the ACF grant funds for which you are applying. "Non-Federal resources" are all other non-ACF Federal and non-Federal resources. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal budget; next column(s), non-Federal budget(s); and last column, total budget. The budget justification should be in a narrative form.

### PERSONNEL

Description: Costs of employee salaries and wages.

Justification: Identify the project director or principal investigator, if known at the time of application. For each staff person, provide: the title; time commitment to the project in months; time commitment to the project as a percentage or full-time equivalent; annual salary; grant salary; wage rates; etc. Do not include the costs of consultants, personnel costs of delegate agencies, or of specific project(s) and/or businesses to be financed by the applicant.

### FRINGE BENEFITS

Description: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc.

## TRAVEL

Description: Costs of project-related travel by employees of the applicant organization. (This item does not include costs of consultant travel).

Justification: For each trip show: the total number of traveler(s); travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used; and other transportation costs and subsistence allowances. Travel costs for key staff to attend ACF-sponsored workshops should be detailed in the budget.

## EQUIPMENT

Description: "Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation, shall be included in or excluded from acquisition cost in accordance with the organization's regular written accounting practices.)

Justification: For each type of equipment requested provide: a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use on the project; as well as use and/or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy, or section of its policy, that includes the equipment definition.

## SUPPLIES

Description: Costs of all tangible personal property other than that included under the Equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

## CONTRACTUAL

Description: Costs of all contracts for services and goods except for those that belong under other categories such as equipment,

supplies, construction, etc. Include third-party evaluation contracts, if applicable, and contracts with secondary recipient organizations, including delegate agencies and specific project(s) and/or businesses to be financed by the applicant.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Recipients and subrecipients, other than States that are required to use 45 CFR Part 92 procedures, must justify any anticipated procurement action that is expected to be awarded without competition and exceeds the simplified acquisition threshold fixed at 41 USC 403(11), currently set at \$100,000.

Recipients might be required to make available to ACF pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc.

Note: Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each delegate agency, by agency title, along with the required supporting information referred to in these instructions.

#### OTHER

Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to: insurance; food; medical and dental costs (noncontractual); professional services costs; space and equipment rentals; printing and publication; computer use; training costs, such as tuition and stipends; staff development costs; and administrative costs.

Justification: Provide computations, a narrative description and a justification for each cost under this category.

#### INDIRECT CHARGES

Description: Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant Federal agency.

Justification: An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be

made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not be charged as direct costs to the grant. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

#### **PROGRAM INCOME**

Description: The estimated amount of income, if any, expected to be generated from this project.

Justification: Describe the nature, source and anticipated use of program income in the budget or refer to the pages in the application that contain this information.

#### **NON-FEDERAL RESOURCES**

Description: Amounts of non-Federal resources that will be used to support the project as identified in Block 15 of the SF-424.

Justification: The firm commitment of these resources must be documented and submitted with the application so that the applicant is given credit in the review process. A detailed budget must be prepared for each funding source.

#### **TOTAL DIRECT CHARGES, TOTAL INDIRECT CHARGES, TOTAL PROJECT COSTS**

#### **EVALUATION CRITERIA:**

The following evaluation criteria appear in weighted descending order. The corresponding score values indicate the relative importance that ACF places on each evaluation criterion; however, applicants need not develop their applications precisely according to the order presented. Application components may be organized such that a reviewer will be able to follow a seamless and logical flow of information (i.e., from a broad overview of the project to more detailed information about how it will be conducted).

In considering how applicants will carry out the responsibilities addressed under this announcement, competing applications for

financial assistance will be reviewed and evaluated against the following criteria:

APPROACH - 50 points

In reviewing the approach, the following factors will be considered:

1. The extent to which: there is a reasonable timeline for implementing and evaluating the proposed project; the timeline includes in chronological order all the major activities to be conducted, thereby displaying a reasonable schedule of accomplishments and target dates; and the applicant addresses the factors that may speed up or slow down the work.
2. The extent to which the applicant provides a workable plan of action and makes a strong case that this plan will accomplish the project's stated objectives. The extent to which the plan is closely tied to the intent of the legislative mandates and the applicant describes unique features that would benefit the project, such as design or technological innovations or reductions in cost or time.
3. The extent to which the applicant clearly describes how the work described in the Funding Opportunity Description Section of this announcement will be accomplished.
4. The extent to which the applicant describes: a plan for preparing and disseminating information to the field; ways to disseminate information, including technological approaches that will ensure integration into practice; and a plan to develop and disseminate information on topical issues related to the AIA programs and other related programs.
5. The extent to which the applicant describes a plan for coordinating program and training activities with other NRCs and Clearinghouses funded by HHS and other sources to assure the effective use of resources and to avoid duplication of efforts. The extent to which there is particular emphasis on working cooperatively with the NRC on Legal and Court Issues on issues affecting drug and HIV-exposed children at risk of abandonment and the National Center on Substance Abuse and Child Welfare on issues affecting children and families affected by substance abuse.
6. The extent to which the plan for evaluating the NRC's processes and outcomes would measure achievement of NRC objectives, customer satisfaction, acquisition of competencies by T/TA recipients, effectiveness of program services and project strategies, the efficiency and effectiveness of the implementation processes, and the impact of the NRC's T/TA activities. The

extent to which the applicant either demonstrates that they have the in-house capacity to conduct an objective self-evaluation, or presents a sound plan for contracting with a third-party evaluator specializing in social science or evaluation, or a university or college, to conduct an objective evaluation of the NRC's process and outcomes.

7. The extent to which the applicant describes a sound plan for conducting a cross-site evaluation of AIA-funded programs as described in the Program Description of this announcement and that the proposed cross-site evaluation would connect with and build on the cross-site evaluation work that has been done already. The extent to which the applicant describes a sound plan/method for collecting summary evaluation data from the AIA comprehensive services demonstration programs, the AIA family support service programs, and the AIA therapeutic recreational programs and submitting an annual evaluation report to the Children's Bureau. The extent to which this evaluation plan meets the requirements stated in the Program Description. The extent to which the applicant describes appropriate data to be collected from AIA-funded projects by the cross-site evaluator and describes a method of analysis for capturing the outcome indicators across the sites that evaluate the process and outcomes of the AIA-funded projects. The extent to which there is a sound plan for securing informed consent and implementing an IRB review, if applicable.
8. The extent to which: there is a sound plan for providing T/TA to AIA grantees on their required individual program evaluations and ensuring that they participate successfully in the cross-site evaluation; and the plan includes addressing the evaluation needs of grantees at different levels of sophistication and assisting grantees in developing outcome measures.
9. The extent to which the applicant describes: a plan for collecting available information from relevant sources on the legal codes, protocols, and procedures regarding standby guardianships and testamentary planning; and a sound plan by which the NRC would address the planning and developmental needs of States or jurisdictions interested in developing standby guardianship laws and in obtaining information on testamentary planning in order to provide permanency for children affected by HIV/AIDS.
10. The extent to which the applicant: identifies organizations, agencies, and other key individuals or groups who will work on the project, if applicable; and describes a sound plan to maintain a national network of racially and culturally diverse professionals in the field to serve as consultants to persons and agencies

- requesting assistance in both legal and clinical practice issues. If applicable, the extent to which there is a clear description of the activities each partner organization and consultant will undertake, the nature of their effort or contribution, and a sound plan to monitor the types and quality of consultation provided.
11. The extent to which the applicant describes a plan to establish an advisory board that will provide overall program direction and guidance to the activities of the NRC and that this plan meets the requirements stated in the Program Description.
  12. The extent to which the applicant demonstrates: a clear understanding of the role of Federal guidance for NRC activities and presents a workable plan for ensuring that understanding will be reflected in all public statements and publications of the NRC; that in situations where the applicant's organizational position on particular child welfare policy and/or practice techniques might differ from the Federal position, the Federal policy will take precedence; and a clear understanding of how they would work with the Children's Bureau under the cooperative agreement.
  13. The extent to which the applicant clearly describes a sound plan for ensuring that the NRC's services, and the program activities and materials developed, are provided in a manner that is racially and culturally sensitive to the populations being served.

#### ORGANIZATIONAL PROFILES - 20 points

In reviewing the organizational profiles, the following factors will be considered:

1. The extent to which the applicant clearly demonstrates: the ability to effectively and efficiently administer and implement the proposed project; and that it and any partnering organizations collectively have sufficient experience and expertise to implement the proposed project. If the project involves partnerships with additional agencies, organizations, or subcontractors, the extent to which the applicant demonstrates that each partnering organization has the ability and organizational capacity to fulfill its roles and functions.
2. The extent to which the applicant demonstrates that the proposed project director and key project staff possess sufficient relevant knowledge, experience, and capabilities to implement and manage a project of this size, scope and complexity effectively. The extent to which the role, responsibilities, and

- time commitments of each proposed project staff position, including consultants, subcontractors, and/or partners, are clearly defined and appropriate to the successful implementation of the proposed project.
3. The extent to which there is a sound management plan for achieving the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines and milestones for accomplishing project tasks and ensuring quality, including activities carried out by partner, subcontractors or consultants, if applicable. The extent to which the plan clearly defines the role and responsibilities of the grantee under the cooperative agreement; and that there would be a mutually beneficial relationship between the proposed project and other work planned, anticipated, or underway with Federal assistance by the applicant.

#### OBJECTIVES AND NEED FOR ASSISTANCE - 20 points

In reviewing the objectives and need for assistance, the following factors will be considered;

1. The extent to which the applicant's proposal demonstrates a clear understanding of and effectively addresses the goals of the legislative mandate.
2. The extent to which the applicant clearly describes and documents the need for providing T/TA to public and private agencies delivering supportive services to the target population.
3. The extent to which the applicant: presents a clear vision for the proposed project; makes a clear statement of the goals (end products of an effective project) and objectives (measurable steps for reaching these goals) of the proposed project; and makes a strong case that accomplishing these goals and objectives would assist target programs in achieving the goals of the AIA Act.
4. The extent to which the applicant clearly identifies the results and benefits to be derived from the project and clearly describes how the project will benefit policy, practice, theory, and research on addressing the needs of the target population.
5. The extent to which the applicant clearly demonstrates a commitment to improve the quality of programs and services to the target population.

#### BUDGET AND BUDGET JUSTIFICATION - 10 points



In reviewing the budget and budget justification, the following factors will be considered:

1. The extent to which the costs of the project are reasonable in view of the activities to be conducted and the expected results and benefits.
2. The extent to which the applicant's fiscal controls and accounting procedures would ensure prudent use, proper and timely disbursement and accurate accounting of funds received under the program announcement.

## **2. Review and Selection Process:**

No grant award will be made under this announcement on the basis of an incomplete application.

A panel of at least three reviewers (primarily experts from outside the Federal Government) will use the evaluation criteria described in this announcement to evaluate each application. The reviewers will determine the strengths and weaknesses of each application, provide comments about the strengths and weaknesses and give each application a numerical score.

The results of the competitive review are a primary factor in making funding decisions. In addition, Federal staff conducts administrative reviews of the applications and, in light of the results of the competitive review, will recommend applications for funding to the Administration on Children, Youth and Families (ACYF) Commissioner. ACYF reserves the option of discussing applications with other funding sources when this is in the best interest of the Federal Government. ACYF may also solicit and consider comments from ACF Regional Office staff in making funding decisions. ACYF may take into consideration the involvement (financial and/or programmatic) of the private sector, national, or State or community foundations; a favorable balance between Federal and non-Federal funds for the proposed project; or the potential for high benefit from low Federal investment. ACYF may elect not to fund any applicants having known management, fiscal, reporting, programmatic, or other problems that make it unlikely that they would be able to provide effective services or effectively complete the proposed activity.

Since ACF will be using non-Federal reviewers in the process, applicants have the option of omitting from the application copies (not the original) specific salary rates or amounts for individuals specified in the application budget and Social Security Numbers, if otherwise

required for individuals. The copies may include summary salary information.

**Available Funds.** Applicants should note that grants to be awarded under this program announcement are subject to the availability of funds.

### **Approved but Unfunded Applications**

Applications that are approved but unfunded may be held over for funding in the next funding cycle, pending the availability of funds, for a period not to exceed one year.

### **3. Anticipated Announcement and Award Dates:**

Applications will be reviewed no later than Summer 2006. Grant awards will have a start date no later than September 30, 2006.

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## **VI. AWARD ADMINISTRATION INFORMATION**

### **1. Award Notices:**

The successful applicants will be notified through the issuance of a Financial Assistance Award document, which sets forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which initial support will be given, the non-Federal share to be provided (if applicable), and the total project period for which support is contemplated. The Financial Assistance Award will be signed by the Grants Officer and transmitted via postal mail.

Organizations whose applications will not be funded will be notified in writing.

### **2. Administrative and National Policy Requirements:**

Grantees are subject to the requirements in 45 CFR Part 74 (non-governmental) or 45 CFR Part 92 (governmental).

Direct Federal grants, sub-award funds, or contracts under this ACF program shall not be used to support inherently religious activities such as religious instruction, worship, or proselytization. Therefore, organizations must take steps to separate, in time or location, their inherently religious activities from the services funded under this program. Regulations pertaining to the Equal Treatment for Faith-

Based Organizations, which includes the prohibition against Federal funding of inherently religious activities, can be found at the HHS web site at: <http://www.os.dhhs.gov/fbci/waisgate21.pdf>.

Faith-based and community organizations may reference the "Guidance to Faith-Based and Community Organizations on Partnering with the Federal Government" at: <http://www.whitehouse.gov/government/fbci/guidance/index.html>.

### **3. Reporting Requirements:**

Grantees will be required to submit program progress and financial reports (SF-269 found at: <http://www.acf.hhs.gov/programs/ofs/forms.htm>) throughout the project period. Program progress and financial reports are due 30 days after the reporting period. Final programmatic and financial reports are due 90 days after the close of the project period.

Final reports may be submitted in hard copy to the Grants Management Office Contact listed in Section VII of this announcement.

Program Progress Reports: Semi-Annually  
Financial Reports: Semi-Annually

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## **VII. AGENCY CONTACTS**

### **Program Office Contact:**

Pat Campiglia  
Children's Bureau  
Portals Office Building, 8th Floor  
1250 Maryland Avenue, SW  
Washington, DC 20024  
Phone: 202-205-8060  
Email: [pcampiglia@acf.hhs.gov](mailto:pcampiglia@acf.hhs.gov)

### **Grants Management Office Contact:**

Peter Thompson  
Grants Officer  
Division of Discretionary Grants  
Aerospace Building, 4th Floor-West  
370 L'Enfant Promenade, SW  
Washington, DC 20447

Phone: 202-401-4608  
Fax: 202-205-8267  
Email: [pthompson@acf.hhs.gov](mailto:pthompson@acf.hhs.gov)

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#### **VIII. OTHER INFORMATION**

Additional information about this program and its purpose can be located at: <http://www.acf.hhs.gov/programs/cb/>.

For general information regarding this announcement please contact:

ACYF Operations Center  
c/o The Dixon Group, Inc.  
ATTN: Children's Bureau  
118 Q St., NE  
Washington, DC 20002-2132  
Telephone: 866-796-1591

**Date:** 05/16/2006      Joan E. Ohl  
Commissioner  
Administration on Children, Youth, and Families